

**SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Hambrecht, et al Attorney Docket: 2955/107  
 Serial No: 10/632,818 Art Group Unit: 3691  
 Date Filed: Aug. 4, 2003 Examiner Name: Campen, Kelly Scaggs  
 Invention: Auction System and Method for Pricing and Allocation During Capital Formation

**LIST OF PATENTS AND PUBLICATIONS FOR  
 APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

<b>U.S. PATENT DOCUMENTS</b>					
<b>Examiner Initials</b>	<b>Reference Number</b>	<b>Document Number</b>	<b>Issue Date</b>	<b>Inventor</b>	<b>Class/Subclass</b>
	<b>ET</b>	US 7,062,460	<b>06/2006</b>	<b>Growney, et al.</b>	<del>705/37</del>
	<b>EU</b>	US 6,317,727	<b>11/2001</b>	<b>May, R. Raymond</b>	<del>705/36R</del>
	<b>EV</b>	US 6,285,989	<b>09/2001</b>	<b>Shoham, Y.</b>	<del>705/37</del>
	<b>EW</b>	US 6,006,201	<b>12/1999</b>	<b>Berent, et al.</b>	<del>705/37</del>
	<b>EX</b>	US 5,890,138	<b>03/1999</b>	<b>Godin, et al.</b>	<del>705/26</del>
	<b>EY</b>	US 5,835,896	<b>11/1998</b>	<b>Fisher, et al.</b>	<del>705/37</del>

<b>OTHER DOCUMENTS</b>			
<b>Examiner Initials</b>	<b>Reference Number</b>	<b>Author</b>	<b>Title of Article, Title of Journal, Volume Number, Page Numbers, Date</b>
	EZ	Cramton, Peter	"Ascending Auctions," European Economic Review, 42:3-5 (1998) 745-756
	FA	Lengwiler, Yvan	"The Multiple Unit Auction with Variable Supply," Finance and Economics Discussion Series, 1998-28 Board of the Governors of the Federal Reserve System (U.S).
	FB		"What is Proxy Bidding?" pp 1-3, WiseGEEK, available @ <a href="http://www.wisegeek.com/what-is-proxy-bidding.html">http://www.wisegeek.com/what-is-proxy-bidding.html</a> , last accessed 7/2/2007
	FC		"Tips for Buyers," pp 1-3, E-bay, 1013/1999, available @ <a href="http://web.archive.org/web/19991013024945/pages.ebay.com/help/buycguide/bidding-tips.html">http://web.archive.org/web/19991013024945/pages.ebay.com/help/buycguide/bidding-tips.html</a> , last accessed 7/24/2007

Examiner Signature: /Kelly Campen/

Date Considered: 03/31/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.

(Information Disclosure Statement--page 4 of 7)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /K.C./